

ODP-81-7022

20 May 1981

25X1 MEMORANDUM FOR: [REDACTED]
Chief, DDA Registry
Office of Deputy Director of Administration

25X1 FROM: [REDACTED]
Chief, D Division
Office of Data Processing

SUBJECT: Project Proposal for the DDAREG System

1. We are pleased to submit for your review the attached project proposal for the development of the DDAREG system. The total ODP resources required for development of this system are \$9,000 in manpower and \$3,450 in computer costs.

2. Your approval of this proposal will allow us to proceed with implementation of the DDAREG system as described. If there are any questions, please contact [REDACTED], the project leader for this system, at extension [REDACTED]

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ATTACHMENT: a/s

APPROVAL:

25X1 [REDACTED]

Chief, DDA Registry
Office of Deputy Director of Administration

Date

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PROJECT PROPOSAL

FOR AN

AUTOMATED REGISTRY SYSTEM

Prepared for:

Office of Deputy Director of Administration

Prepared by:

25X1

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ODP/A/D Division

April 1981

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Section I

INTRODUCTION

1.1 PURPOSE

This document outlines the requirements for the development of a Automated Registry System for the Office of Deputy Director of Administration (ODDA) and recommends a plan of action for implementing the automated system. The system will run on the Office of Data Processing (ODP) mainframe GIM II support computer.

1.2 BACKGROUND INFORMATION

STAT Ms. [] Chief of the DDA Registry, requested a study be undertaken by ODP for the development of an automated registry system in August 1980. The DDA Registry document control procedures have traditionally been a manual process.

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Section II

CURRENT OPERATIONS

2.1 GENERAL DESCRIPTION

The DDA Registry is located at 7D18 Headquarters Building. The central file system is maintained in the DDA Registry.

The Registry handles approximately 35 incoming and 65 outgoing pieces of mail a day. Of these, about 99 percent are controlled documents and must be logged. A majority of the documents processed by the Registry have recipients within the ODDA.

2.2 DOCUMENT CONTROL

2.2.1 Logging of Documents

All incoming Registry documents are logged manually on a Form 238. The documents are reviewed by the Chief of DDA Registry. The Chief determines if there is background material related to the document that should be located and attached to the document. If background material is provided with a document, a charge-out card (Form 4057) is completed by the Registry and placed in the file folder from which the reference material was removed.

All incoming documents, background material, and associated Registry forms are forwarded to the Executive Officer for dissemination.

2.2.2 Dissemination

The Executive Officer determines the distribution of the action and information copies of the document. The Executive Officer will also determine if the background material included with the document will be sent on to those on the distribution list. The necessary routing lists are also prepared by the Executive Officer.

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The Executive Officer returns the document, background material, routing and action lists to the DDA Registry for distribution.

2.2.3 Document Distribution

When the document is received from the Executive Officer, the Registry will then update the original 238 form to reflect the document distribution and actions.

The Registry then prepares all necessary receipts and envelopes for distribution and makes distribution.

2.3 REPORTS

The Registry currently produces an annual inventory report of Top Secret documents to verify against the Office of Security Top Secret Inventory report.

2.4 PROBLEMS

2.4.1 Document Retirement Information

Currently, the Registry has a substantial backlog of 4034a File Review Worksheets to be input to the OIS records retirement system. The Registry personnel do not have the resources necessary to reduce the backlog without degrading the services provided by the Registry.

2.4.2 Document Requests

Inquiries from DDA personnel on the location or disposition of a particular document often result in many hours of searching through document abstract files (Form 238's). Currently the abstracts are kept in two different files, one sorted by document number and one sorted by subject; but the requestor infrequently knows the document's number or full subject.

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Section III

USER REQUIREMENTS

3.1 GENERAL REQUIREMENTS

The automated registry system must be able to effectively handle logging of incoming, outgoing, and internal documents, as well as locating all documents through logged information. Retirement and destruction information must be retained in the automated system for all documents. The log of action items requiring attention by a particular office must be automatically generated as required. A Top Secret inventory report must be automatically generated upon request.

Keyword indexing of documents is not a requirement for this registry.

The following are subfunctions the automated system must perform for the Registry:

3.2 DOCUMENT CONTROL

The information currently being recorded manually on the Form 238 must be entered into the automated system. To maintain complete information about the document, status information regarding the documents destruction or retirement must be stored in the system.

If a document (Document A) requires a response or action, the control number of the response or action document (Document B) must be recorded with original document (Document A) control information.

3.2.1 Document Recall

The system must be able to locate a document, whether or not a document control number is known. It must be responsive to queries such as "What documents are contained in file folder P100" or "What documents are logged out to Joe?". Generally, the person requesting documents does not know the control number, but will supply other information

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such as an addressee, an originator, an approximate date, or a subject. The system must be able to search the document control information with any combination of criteria.

3.2.2 Document Retirement

The automatic system must maintain the location of a retired document. In addition, all of the information currently recorded on the 4034A File Review Worksheet must be maintained in the automated system. The Agency Records Center retirement system currently stores this information on a computer system, and the data must be available for scanning by the DDA Registry personnel.

3.2.3 Top Secret Inventory

The automated Registry system must accommodate Top Secret documents and upon request, generate inventory reports for verification with Office of Security.

3.2.4 Suspense Items

A required feature is to control and follow-up documents requiring action by a particular person or office. A report must be generated automatically by the system of what action items are outstanding, what office is assigned the action, what date the action is due, what date it was completed, and a reference number of the reply or action fulfillment document.

3.2.5 Retention Period

The record of the status and location of the documents must be retained indefinitely. The documents held in the Registry are kept in chrono files and subject files. The system must show that the documents kept in the chrono files are destroyed at the year's end. The documents in the subject file could be retired after a period of three years if the retired information could be queried within one day.

3.3 SYSTEM USAGE

The system must be available to two Registry personnel at the same time, to update and query during all hours of Registry operation. Hours of operation of the Registry are as follows:

Monday - Friday: 8:30 to 17:00
Saturday: on request only.

Expected system usage is as follows:

Daily updates	100
Daily Scheduled Reports	2
Daily ad-hoc queries	
Direct	10
Sequential Searches	25

Section IV

PROPOSED SYSTEM/TECHNICAL DESIGN

4.1 OVERVIEW

The proposed automated Registry system will consist of an online interactive GIM-II database and an offline history file. The online database will contain data on active documents. The offline database will serve as a historical record of documents which have been logged by the DDA Registry.

The online files may be queried interactively using the GIM-II language or in a batch mode using the RAMIS RAMGIM capability. The offline file may be queried in a batch mode using the RAMIS REF (reporting from external files) facility. Combined online/offline queries will not be supported. The software for keywording capability is available to the DDA Registry if they desire this feature.

The automated system will have an interface with the Archives and Records Information Sytem (ARCINS). This will relieve the Registry of future backlogs of retirement information since the records retirement information for documents will already be stored on the database and available for electronic transfer to ARCINS.

The online database will be updated via menus to provide a predictable level of data continuity and ease of use.

The proposed procedural activities for document control (e.g. logging documents) may result in a measurable increase in time to perform the task as compared to the current manual procedures. This slight increase in time at the front-end will be absorbed in the overall reduction of time saved in locating and retrieving documents.

4.2 HARDWARE

The DDA Registry should receive one Delta Data terminal by April 1981. The Delta Data terminal should be connected to a local hardcopy printer.

4.3 SYSTEM SOFTWARE

4.3.1 Online Files

The online system will consist of 6 GIM-II files. Detailed descriptions for the following files are included in Appendix A.

1. DOCUMENT - Document description.
2. COPY - Designation of who received what copy.
3. FOLDER - File folder and ARCINS data.
4. HISTCOPY - Staging area for COPY records ready to be retired to the offline file.
5. ACTION - Suspense item file.
6. DIST - Automatic copy distribution lists.

4.3.2 Online Procedures/Menus

The online system will be supported by the following six GIM-II procedures outlined in Appendix B.

1. HELP - Menu to assist user in requesting the proper menu.
2. DDADOC - Menu for update and query of document file.
3. DDACPY - Menu for update and query of copy file.
4. FOLDMENU - Menu for update and query of folder file.
5. TRACER - Procedure to generate tracer actions for delinquent document signature receipts.
6. SENDOIS - Procedure to create input for OIS.

4.3.3 Offline Files/Procedures

The offline file will be a tape or disk file containing all of the data items stored in the DOCUMENT, COPY, and FOLDER files. It will be updated on a scheduled basis, e.g. monthly (on weekends).

The following programs will be required to support the offline system:

1. OFFUPD - update offline files with records from online files.
2. OFFDELETE - delete records from offline file.
3. OFFDESTROY - post destroy date to copy records in offline system.

4.4 REPORTING

Both the online (through EXTRACTS) and the offline files will be available on a routine schedule for batch processing utilizing the RAMIS report generation package. A GIMS online HETRA printer is available in the Data Base Control Center (DBCC) located in 5D55 HQS for adhoc reporting and listings. These reports will be printed on either screen lined paper in DBCC (5D55) or XEROX 9700 8 1/2" by 11" paper in Ruffing Computer Center (GC03).

Brief description of proposed reports and suggested processing schedule are as follows:

- Daily - Action Item Report, sorted by office assigned the action.
- Semi-Annual - Top Secret Inventory report, with custodian information.

Section V

PROPOSED USER PROCESSING

5.1 DOCUMENT CONTROL

5.1.1 Document Logging

REGISTRY

1. Receive document.
2. Assign DDA Registry number to document unless control number is already on document.
3. Review document text.
4. Locate any reference material.
5. Determine if any background material should be sent along with document.
6. If background material is appropriate, update system to reflect that material was removed (DOCMENU).
7. Enter new document information, file folder code and other related information into system (DOCMENU).
8. Forward document and associated materials to Executive Officer.

5.1.2 Dissemination

EXECUTIVE OFFICER

1. Receive Registry document and associated materials.
2. Determine document routing, actions and distribution.
3. Prepare routing Forms 238.
4. Return document, associated materials and routing information to Registry.

5.1.3 Distribution

REGISTRY

1. Receive document, associated materials and routing from Executive Officer.
2. Prepare document for distribution.
3. Update system with following:
 - routing if required (DOCMENU).
 - copy and receipt information if required (CPYMENU).
 - action information if required (DOCMENU).
4. Send document and routing to recipient.

5.1.4 Document Retrieval

Document Requestor

Registry

Within the ODDA

- | | |
|--------------------------------------------------------------------|--------------------------------------------------------------------------|
| 1. ODDA personnel request status of document. | 2. System is queried to receive status of document (DOCMENU). |
| 3. ODDA personnel request documents pertaining to certain subject. | 4. System is queried and subset satisfying query is printed (GIM Query). |

5.1.5 Document Disposition

Recipient

Registry

If document is retained by
Recipient.

1. No further action is taken.

If document is routed further by
the recipient:

2. Notify Registry.

3. Enter document control
information into system.
(CPYMENU or DOCMENU)

If document is copied and copies
are routed by the recipient:

4. Call Registry for a copy
number.

5. Enter document control
information into system.
(CPYMENU or DOCMENU)

If document is to be filed in
the Registry:

6. Return document to Registry.

7. File the document.

If courier receipt attached:

8. Sign and return courier
receipt.

9. Destroy filed copy of
receipt (CPYMENU).

5.1.6 Document Signature Receipts

ODDA Registry	Post returned signature receipts (DOCMENU).
ODDA Registry	Run computer check for signature receipts not returned within 14 days. Generate tracer action notices (TRACER).
ODDA Registry	Any document which has all receipts resolved flagged for move to history system. (HISTMENU) (Usually within 30 days of original mailing.)
ODP/DBCC	Move flagged documents to offline history. (This will be done each weekend.)

5.1.7 Registry Record Retirement Procedure

Registry

OIS Record Center

- | | |
|------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|
| 1. Send Form 140 (Record Retirement Request) to Records Center. | 2. Assign job number and return one copy of Form 140 (granting approval to retire). |
| 3. Prepare boxes for shipment to ARC. | |
| 4. Enter retirement information into the online RETIRE file (RETMENU or FOLDMENU). | |
| 5. Forward retirement information electronically (SENDOIS) and boxes to OIS. | |
| | 6. Store containers. |
| | 7. Assign disposition date. Return copies of 140 and 4034A. |
| 8. Update offline with ARC data (shelf list). | |

5.1.8 Record Recall Procedure

Registry

Record Center

- | | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------|
| <ol style="list-style-type: none">1. Request return of a specific box, using document control file DOCUMENT and retirement file RETIRE to determine which box.3. Forward xerox copy of documents to Requestor.4. Enter document control information into the system for the generated copy.5. Return original document to box.6. Return box to Records Center. | <ol style="list-style-type: none">2. Return requested box. |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------|

5.1.9 Retired Record Destruction Procedure

ODDA

Registry

1. Maintain a list on
Certificate of destruction
of destroyed documents.
Retain until filled.

2. Receive complete list.
3. Enters destruction infor-
mation into the system.

If document is to be destroyed by Registry:

4. Enter destruction data
into system.
5. Destroy document.

5.2 TOP-SECRET DOCUMENT INVENTORY PROCEDURE

Registry

1. Receives master Top Secret document list from Office of Security twice a year. This list contains all Top Secret documents charged to the Registry.
2. Registry produces system-generated Top Secret Inventory report (TSINV).
3. TS Control Officer in Registry compares Executive Registry Inventory Report with Office of Security master list.
4. Officer reports missing documents to Office of Security.
5. Officer reports documents held but not listed on the Office of Security master list.

Section VI
IMPLEMENTATION

6.1 SCHEDULE AND COST

6.1.1 Schedule

Registry returns Project Proposal	
and terminal installed	Week 1
Dictionaries Completed	Week 3
Procedures Completed	Week 6
Registry Acceptance Testing Begins	Week 6
Reports Completed	Week 8
Documentation Completed	Week 9
Registry Acceptance Testing	
Completed	Week 10
Training Class	Week 10
Project Complete	Week 11

6.1.2 System Development

6 Dictionaries:	2 man-weeks	
	80 hours at \$25/hr	= \$2000
Machine cost:	6 Dictionaries	
	at \$400/dictionary	= \$2400
7 Procedures		
with Menus :	3 man-weeks	
	120 hours at \$25/hr	= \$3000
Machine Cost:	7 Procedures	
	at \$150/procedure	= \$1050
4 Procedures		
for Reports :	2 man-weeks	
	80 hours at \$25/hr	= \$2000

6.1.3 System Testing, Training and Documentation

2 man-weeks
80 hours at \$25/hr = \$2000

6.1.4 Total Manpower and Costs

Manpower Costs (9 man-weeks)	\$ 9,000
Computer Costs	3,450

Total Project Cost	\$12,450

6.2 TRAINING

It is required that all Registry personnel attend a two-day GIM II User Language Training class offered by the ODP Training Staff or have acquired this level of GIMS expertise. It is also required that Registry designated Data Base Manager and the alternate attend ODP's Training Course on GIM II Data Base Administration and Ramis Report Writing. These courses are also available on audio/visual tapes and can be obtain by contacting ODP/Training Staff.

An ODP Applications Specialist will be available to the Registry for a period of one week. During this week, the ODP Specialist will introduce the Registry personnel to their automated system. Demonstrations of the system and the user's guide will be provided to the customer.

6.3 ACCEPTANCE TESTING

The objective of the acceptance testing is to demonstrate to the customer that the automated system satisfies all user requirements. The acceptance criteria will be to demonstrate that the user can input, update and delete sample data, and query the online database by using the GIM II language and query the offline database with the RAMIS language.

The acceptance criteria will consist of the following demonstrations:

1. Input of a sample document.

2. Update of a sample document.
3. Querying the Online and Offline files.
4. Generation of tracer actions.
5. Archiving a record to ARC.
6. Production of the reports in Appendix Z.

6.4 DESIGN PHILOSOPHY

All programs will be coded to meet Applications Programming Standards. The coding will be modular, top-down format to simplify future modifications. All programs will be code-read by D Division personnel who are not working on the Registry project.

Section VII

DELIVERABLES

ODP D Division will be responsible for delivering the Automated Registry system which has been previously outlined in this project proposal. All data base system software required for the execution of the system will be placed in the ODP/Production Library. All software required for execution through the VM/SP and JES3 batch systems will be established on the customers VM mini-disk.

Documentation to be provided to the customer consists of a User's Guide for the automated Registry system and a GIM II users manual. All program documentation is sent to and stored in the ODP/Production Library.

Section VIII

CUSTOMER RESPONSIBILITIES

The customer, ODDA/Registry, will be responsible for the following:

1. Assist ODP in verifying system requirements.
2. Identify a Data Base Administrator responsible for the production functions.
3. Creation and maintenance of validation tables.
4. System testing (See Section 6.3).
5. All data entry and reporting after implementation.
6. Compliance with all FOIA and Privacy Act regulations and requirements.

Note: Terminals have already been requested by customer and are expected to be installed before project completion.

Section IX

IMPACT

The impact of this project is of a general nature and is not outside the framework of services provided by ODP.

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Appendix A

DICTIONARIES

Data List Name: DOCUMENT

This file will contain one record for each unique document entered in the system regardless of the number of copies recorded.

Data Element	Description	Format
DOCxx	A unique document control number, either originated by the Registry or one of the [] etc. numbers assigned by the originator. xx is year as recorded in the last segment of document number.	LA10*RN8*RN2 Prefix*Number*Year Prefix is A, with / or - Number is N, with / or - Examples: []*1214*79 DDA*06282*79 []*1907*79
D/TO	Recipient of the document	LA25 Last-name First-name MI
D/T/OFFICE	Office of the recipient	LA25 Office name
D/ORIGINATOR	Originator of the document	LA25 Last-name First-name MI
D/O/OFFICE	Office of the originator	LA25 Office name
D/DOC/DATE	Date on the document	RN6 YYMMDD
D/REC/DATE	Date document is received in Registry or for outgoing mail the date document is sent.	RN6 YYMMDD
D/TYPE	Type of Document - Incoming, outgoing or internal.	LA1 Must be valid code I - incoming O - outgoing X - internal

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S - Sensitive

D/CLASS	Classification	LA1 Must be C - Confidential S - Secret T - Top Secret U - Unclassified
D/CODEWD	Codeword Classification	LA3 No edit checks.
D/SUBJECT	Subject line from the document	LA120 Free text, no edit checks
D/COMMENTS	General free-text comments.	LA120 Free text, no edit checks
D/NO/PAGES	Number of pages in document	RN3
D/ACTION	Office assigned to take action on the document There may be up to five different offices on each document.	LA5 Must exist in ACTION file
D/ACT/TYPE	Type of action for each office.	LA1 M - Memorandum R - Response L - Letter of response B - Briefing
D/ACT/COMP	Date action on the document is completed for each office.	RN6 YYMMDD
D/ACT/DUE	Date action is due.	RN6 YYMMDD
D/ACT/REF	Document number of reply or action document to which this document relates	LA20 Same as Document Control Number validation
D/REF	Document number of document which are referenced by this document.	LA10*LA8*LA2
D/CPYSER	System generated list of all copies and series for this document.	
D/UPDATE	System generated date of last record update.	RN6 (YYMMDD)
D/JOURNAL	Entered if document will be a journal entry.	LA1 (Y/N)
D/FOLDER	Primary folder.	LA15

D/FOLDER/CPYSER Copy/Series folders.

LA13

Data List Name: CPY and HISTCPY

This file will contain one record for each group of copies of a document. A group of copies may be one copy, ie 001, or a series of copies, ie 001-010. The series is optional field for use when document copies are made outside of the original set.

<u>Data Element</u>	<u>Description</u>	<u>Format</u>
CPYxx	A unique document control number, the same as the number in the DOCUMENT file and the copy number and series for this copy. This is the DL/ID for the CPY file.	LA10*LA8*LA2*LA7*LA5 Same format as Document in DOCUMENT file
C/TO	Addressee for copy, Name	LA25 Last-name First-name MI
C/T/OFFICE	Office of addressee	LA25 Office name
C/DEST/DATE	Date the copy was destroyed	RN6 YYMMDD
C/FOLDER	Folder where copy is stored.	LA15
C/ROUTE	Initials and date for each routing.	
C/UPDATE	System generated date of last record update.	RN6 (YYMMDD)
C/DOCRECPT	Document signature receipt flag.	LA1 Must be valid code; S - sent R - returned
C/COURIER	Courier receipt number from form 240 or 240a.	LA9
C/CUSTODIAN	Person assigned as accountable custodian for the copy.	LA25 Lastname First MI

Data List Name: FOLDER

Data Element	Description	Format
FOLDxx	Folder number - file number	LA15
F/CPYS	Document, copy and series numbers of documents in file folder.	LA10*LA8*LA2*LA7*LA5
F/TITLE	Folder title	LA100 Free text, no edit check
F/JOB	Job number when folder is retired.	LA9
F/BOX	Box number when folder is retired.	RN3
F/RET/DATE	Date folder was retired	RN6 (YYMMDD)
F/DEST/DATE	Date folder was destroyed	RN6 (YYMMDD)
F/DESTROYER	Person responsible for destruction	LA25 Last-name First-name MI
F/BEGDATE	Date of earliest document in folder	RN6 (YYMMDD)
F/ENDDATE	Date of latest document in folder	RN6 (YYMMDD)
F/SEQNO	Sequential number within BOX	RN3
F/ITEMNO	Item number within Records Control Schedule which applies to the file folder	LA8 NNNANNAN, where NNN is primary item within Records Center Schedule A is first sub-item NN is second sub-item A is third sub-item N is fourth sub-item All fields need not be entered.
F/RD	Restricted data flag for ARCINS	LA1
F/DISP/DATE	ARCINS disposition date.	RN6 (YYMMDD)
F/UPDATE	System generated date of last record update.	RN6 (YYMMDD)

Data List Name: ACTION

<u>Data Element</u>	<u>Description</u>	<u>Format</u>
ACTxx	Office assigned the action on the document	LA20
A/DOCNOS	Document control numbers of documents assigned to the office.	LA20 Same format as document field in DOCUMENT file.

Appendix B
ONLINE PROCEDURES

(Summary)

NAME	DESCRIPTION
HELP	Assist user in menu selection.
DDADOC	Log incoming documents. Retrieval and updating existing documents.
DDACPY	Logging of new copy information. Retrieval and updating existing copies.
DDAACT	Retrieval (posting) of outstanding actions assigned particular office.
FOLDMENU	Entering new folders. Retrieval and updating of existing folders.
RETMENU	Retiring records to retirement file. Retrieval and updating retire file.
ACTREP	Procedure to create Action Item Report.
TSINV	Procedure to create Top Secret Inventory Report.
BACKREP	Procedure to create document information report in the event of computer unavailabilities.
TRACER	Procedure to generate tracer actions for delinquent document receipts.
SENDOIS	Procedure to create input for OIS.

Appendix C

ONLINE MENUS

HELP MENU

DDAREG HELP MENU

FOLLOWING MENUS ARE AVAILABLE:

_ DDADOC	(INPUT/UPDATE/RETRIEVE DOCUMENT DATA)
_ DDACPY	(INPUT/UPDATE/RETRIEVE COPY DATA)
_ FOLDMENU	(CREATE/UPDATE/RETRIEVE FILE FOLDER INFORMATION)
_ RETMENU	(CREATE RETIREMENT INFO ON FILES TO BE RETIRED)
_ TRACER	(TO CREATE COURIER RECEIPT DELINQUENT REPORT)
_ SENDOIS	(TO CREATE INPUT FOR OIS)

- Enter an "X" to the left of selected menu for execution and depress enter key.
- To exit, leave this menu blank and depress the enter key.

DOCUMENT MENU

ACTION: _

NUMBER : _____ DOC DATE: _____ RECEIVED DATE: _____
TYPE: _ CLASS: _ CODEWORD: _ PAGES: _ NO. COPIES: _ JOURNAL ITEM(Y/N): _
FROM : _____ F/OFFICE: _____
TO : _____ T/OFFICE: _____
ORIGINATOR : _____ O/OFFICE: _____
SUBJECT : _____
COMMENTS : _____

ACTION: (OFF/TYP/COMP DATE) _____/_____/_____
DUE DATE: _____ ACTION DOC NO: _____

REFS: _____
DIST: _____ AUTO(Y/N): _

***** COPY/SERIES INFORMATION *****

CPYSER: _____ FILE FOLDER: _____ CUSTODIAN: _____
TO: _____ OFFICE: _____
RECEIPT(S/R): _ COURIER RECEIPT NUMBER: _____ DOC DESTROY DATE: _____
ROUTING: _____/_____/_____/_____/_____
NEXT MENU: _____

ACTION CODES:

- A - Add document and copy records.
- U - Update document descriptions or post returned document sign receipts.
- R - Retrieve document descriptor data and first copy record.
- X - Continue retrieval on next copy record.

ACTION:

CPYSER: _____ TO: _____ OFF: _____
RECEIPT(S/R): _____ RECEIPT NO: _____ DOC DEST DATE: _____ FOLDER: _____
ROUTING: _____/_____/_____
_____/_____/_____
_____/_____/_____

CPYSER: _____ TO: _____ OFF: _____
RECEIPT(S/R): _____ RECEIPT NO: _____ DOC DEST DATE: _____ FOLDER: _____
ROUTING: _____/_____/_____
_____/_____/_____
_____/_____/_____

CPYSER: _____ TO: _____ OFF: _____
RECEIPT(S/R): _____ RECEIPT NO: _____ DOC DEST DATE: _____ FOLDER: _____
ROUTING: _____/_____/_____
_____/_____/_____
_____/_____/_____

CPYSER: _____ TO: _____ OFF: _____
RECEIPT(S/R): _____ RECEIPT NO: _____ DOC DEST DATE: _____ FOLDER: _____
ROUTING: _____/_____/_____
_____/_____/_____
_____/_____/_____

NEXT MENU:

- A - Add additional copies to an existing document.
- U - Update copy information or post returned signature receipts.
- R - Retrieve first section of copy records.
- D - Delete copy records.
- X - Continue retrieval on next section of copy records.

FOLDER LOG

ACTION: __

FOLDER NUMBER: _____ YEAR: _____
RECS CONTROL SCHEDULE ITEM NUMBER: _____
TITLE : _____

IF RETIRED

JOB : _____ BOX: _____ RETIRED DATE: _____ DISP DATE: _____ RD: _____
SEQNO: _____ BEGDATE: _____ ENDDATE: _____

IF DESTROYED

DESTROYED DATE: _____ DESTROYER: _____

IF YOU WISH TO RETRIEVE DOCUMENT CONTROL NUMBERS (Y/BLANK): __

UNCLASSIFIED

RETIRE MENU

ACTION: _

JOB: _ BOX: _ RETIRED DATE: _ DISP DATE: _ RD: _

FOLDER	YR	ITEM	SEQNO	BEGDATE	ENDDATE
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

NEXT MENU: _____

REQUIRED FIELDS:

JOB
BOX
RETIRED DATE
DISP DATE
FOLDER
YEAR
SEQNO
BEGDATE
ENDDATE

UNCLASSIFIED

SENDOIS

EXEC SENDOIS

JOB NUMBER: _____ RUN NUMBER: _____

JOB CLASSIFICATION: _ ('U' 'C' 'S' 'T')

CLASSIFIED BY: _____ (EMPLOYEE NUMBER)

RECORDS CONTROL SCHEDULE YEAR: ____

DIVISION: _____ BRANCH: _____ SECTION: _____

REQUIRED FIELDS:

JOB NUMBER - retirement job number supplied by OIS
RUN NUMBER - a unique four-digit code for the output tape
JOB CLASSIFICATION - determined by the highest
classification of a folder
CLASSIFIED BY - employee number of person classifying
job
RECORDS CONTROL SCHEDULE YEAR

ACTION CODES:

No action codes are needed for the SENDOIS menu.

However, if the user wishes to exit the menu without processing a job, he may type "EXIT" in the JOB NUMBER menu field to leave the menu format.

Appendix D

DDAREG FILE SIZE ESTIMATES

April 1981

File	No Recs.	Avg Size	Modulo	Separation	Total Recs.
-----	-----	-----	-----	-----	-----
DOC81	7,000	200	727	4	2,908
82	9,000	200	929	4	3,716
83	11,800	200	1151	4	4,604
84	13,000	200	1361	4	5,444

				Subtotal	16,672
CPY81	49,000	50	2593	2	5,186
82	63,000	50	3299	2	6,598
83	77,000	50	3998	2	7,996
84	91,000	50	4703	2	9,406

				Subtotal	29,186
FOLD81	350	200	41	3	123
82	400	200	59	3	177
83	500	200	91	3	213
84	600	200	83	3	249

				Subtotal	762
ACT81	70	50	3	2	6
82	100	50	7	2	14
83	100	50	7	2	14
84	100	50	7	2	14
					--
				Subtotal	48
				Total GIM Records	46,668

Appendix E
CURRENT OFFICE FORMS

67710

FORM NO. **238** USE PREVIOUS EDITIONS **DOCUMENT CONTROL** (13-40) MFG 10-79

SEC. CL.		ORIGIN		CONTROL NO.	
DATE OF DOC	DATE REC'D	DATE OUT	SUSPENSE DATE	CROSS REFERENCE OR POINT OF FILING	
TO FROM SUBJ.				ROUTING	DATE SENT
COURIER NO.	ANSWERED	NO REPLY		1	

GUIDELINES
FOR THE DEVELOPMENT OF
AUTOMATED REGISTRY SYSTEMS
as of April 30, 1980

PREFACE

These guidelines were prepared by the CARS (Common-use Automated Registry System) Task Force under the sponsorship of the Information Services Staff/DDA. The CARS Task Force consisted of a systems analyst from the Information Services Staff, a document analyst from the Office of Central Reference/NFAC, and a systems analyst from the Office of Data Processing/DDA. The guidelines are intended to become part of a future Records Management Handbook on registries.

In preparing the guidelines the task force examined all of the automated systems described in Appendixes A and B and surveyed the forms and procedures used in the manual registries in OD&E, OSWR, ODDA, ORD, Executive Registry, and Intelligence Community Staff.

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AUTOMATED REGISTRIES

1. INTRODUCTION

These guidelines pertain to the basic functions performed in Agency registries and the use of Automatic Data Processing (ADP) in a registry environment. They are intended for registry managers, systems analysts who are assigned to the design of registry systems, and managers who are concerned with planning, organizing and controlling records systems.

1.1 PURPOSE

The purpose of the guidelines is to assist the developers of automated registry systems by providing them with information about:

The environment in which registries exist,

The functions generally performed by registries,

The characteristics of the data needed to perform these functions,

The existing Agency records management systems with which a registry must interact, and

The impact of automation on a registry.

1.2 STRUCTURE OF THE GUIDELINES

The guidelines begin with a brief explanation of the steps involved in initiating a registry automation project. Then there are two sections (3 and 4) which together provide a comprehensive description of registries in general. Section 3 describes the environment in which registries exist. This section is intended to help the reader understand why different procedures are used in individual registries. Section 4 is a summary of the functions generally performed in registries and the data associated with each function. The registry manager and systems analyst can use the information in this section as a guide in documenting the functional and data requirements of their own registry.

Section 5 points out some of the possible effects of automation upon a registry. Included is an explanation of some of the ways automation will affect how things are done, and what steps can be taken to minimize the disruptive effects of change.

The guidelines conclude with four appendixes which provide supplementary information useful in designing an automated registry system.

2. INITIATING AN ADP PROJECT

When a registry manager feels that the effectiveness of his registry might be improved through computer usage, he should first talk over his ideas with his office and directorate Records Management Officers. He should also consult the Records Management Division of ISS which is concerned with the development of registry systems and can help in identifying registry problems, evaluating alternative solutions, and selecting the most promising solution. It should be kept in mind that a computer-based system may be appropriate in one registry and not in another.

When the registry manager is ready for a formal study of the pros and cons of automation, he should submit a Form 930, Request for Computer Services, to the Office of Data Processing. He should explain on the form that he is considering the use of a computer to improve his registry and would like ODP's help in determining if a computer system would be beneficial. An ODP systems analyst will be assigned to assist the registry manager in defining requirements. If a computer system is feasible, the systems analyst will work with the registry manager throughout the development and implementation of the new system.

AUTOMATED REGISTRIES

3. UNDERSTANDING AGENCY REGISTRIES

3.1 REGISTRY INDIVIDUALITY

Each registry is different from every other. The work of a registry reflects the special needs and requirements of the organization it serves. Basically service entities, registries respond individually to diverse demands. The first responsibility of each is to the organization it serves.

In meeting the needs of the organization, a registry manager generally is given freedom to use his own judgment on how to carry out registry responsibilities. When a constraint is imposed, it usually is because of the need to use services provided by other Agency components. For example, if a registry wants to retire file folders to the Agency's Archives and Records Center, it will have to fill out required forms and follow certain retirement procedures. But there is no overall set of requirements that specify what a registry should do and how to do it. Requirements come in bits and pieces from the external world with which it interacts.

3.2 SIMILARITY IN FUNCTIONS PERFORMED

Notwithstanding their individuality, registries do perform a set of similar functions. Registry functions center around three areas -- mail handling, reference, and records disposition. These are high-level functions, each of which comprises a number of sub-functions. Registries also perform some dissimilar functions. These develop either because of the unique mission of the organization the registry serves, or because management wants a registry to provide a wider-than-usual range of information services.

3.3 DIFFERENT WAYS OF PERFORMING FUNCTIONS

The grouping of registry sub-functions into the three generic functions of mail handling, reference, and records disposition does not lessen the importance of the various methods and procedures that exist at the working level. The ways in which registry functions are performed differ widely. There are more differences in how things are done than in what things are done. This in part is a result of the independence of registries and in part a result of different emphasis placed on a function. For example, in one registry the amount of reference work may be light, while in another it may be a major portion of the work load. Two such registries will approach this same function in completely different ways.

3.4 SIMILARITIES AND DIFFERENCES IN DATA COLLECTED

Registry managers are resource managers who must keep records on the information assets their registries handle. Registries collect similar kinds of data to identify documents and file folders they have received or created, and to keep track of what they did with them.

Because each registry has developed individually, each collects data in its own way. The data collection practices in registries differ greatly. There are differences in the names given to data elements (e.g., the terms Originator, Source, and From are used interchangeably); in the way the data is formatted; in code schemes used; and in the amount of data collected on similar kinds of transactions. Inconsistencies in the data collected are the norm, not the exception.

3.5 TREND TOWARD ADP

Registry managers are showing an increasing interest in Automatic Data Processing (ADP). As of April 1980, at least five registries are using computers and at least four others are considering converting from their manual record keeping systems to computer-based systems. There is one major reason for this interest in ADP. For a given amount of data input, the computer can provide a great deal more information output than a manual system, and can often provide it faster. It offers a flexibility in information retrieval which helps a registry improve the service it provides.

AUTOMATED REGISTRIES

4. REGISTRY FUNCTIONS AND DATA NEEDS

This section focuses on the functions performed in registries -- mail handling, reference, and records disposition -- and the types of data collected to support them. These data elements are listed within the framework of the functions using them and each data element is defined in Appendix D.

Different registries will have different requirements for data elements. The data elements listed are simply recommendations. Not all registries will need all of the data elements listed, and most registries will need some others to support the organizations they serve.

AUTOMATED REGISTRIES

4.1 MAIL HANDLING

Mail handling is the processing of documents and other mail items either sent from or received by the organization the registry supports. In most organizations this function is controlled by a registry. If the organization is located in more than one building, there may be several sub-registries where mail for each building is processed.

Generally all mail is both incoming and outgoing; it arrives in the registry, is processed, then leaves. A registry is not an end user of mail; it is only an intermediary. Incoming mail arriving through the Agency courier system is often accompanied by an Office of Logistics Courier Receipt (Form 240 or 240a) which is signed and given back to the courier. All items (except those marked PERSONAL or EYES ONLY) are opened and checked. If there is a manifest it is verified and any return receipts (usually Form 615, Document Receipt) are signed and set aside for return.

Each mail item received by the registry is reviewed to determine the specific handling required. In general, handling requirements can be looked upon as sub-functions of mail handling. These sub-functions are listed here and then each is discussed in more detail. The sequence in which these sub-functions are performed will vary depending on registry procedures and the type of mail being processed.

Distribution - Does the item require multiple copy distribution? If so, is it associated with a pre-defined distribution list?

Routing - Does a copy require routing to one or more individuals in the organization?

Filing - Will a copy of the item be retained in the registry? Where will it be filed?

Suspense lists - Does the registry need to keep track of any actions required by this item? (Not all registries will perform this function.)

Copying - Are additional copies needed for the distribution, filing, or routing requirements?

Receipting - If copies will be entering the courier system, will they need a Form 240 or 240a, mailing labels, or signature receipts?

Logging - Is the item controlled, thus requiring that an entry be made in a controlled document log?

AUTOMATED REGISTRIES

After all these questions have been asked and appropriate action taken, the items are sorted and either pigeonholed for delivery or pickup at the registry, packaged for the courier or filed within the registry files.

4.1.1 DISTRIBUTION

Dissemination is defined as the process of determining who will receive copies of a document, and distribution as the process of actually giving out the copies. Most registries perform a distribution function; they distribute copies of a document based upon instructions given them by the originator or addressee. Items distributed may include magazines and reports coming into the organization, and reports prepared by the organization for an outside audience.

A registry can keep predetermined distribution lists for categories of documents. When an item arrives the list can be referred to for the names/titles, organizations, and mailing addresses of individuals who are to receive copies. The list may contain an indication of the total number of copies an addressee is to receive, e.g., 10, or if copy number control is required, the list may show a range, e.g., from copy 10 to copy 19.

A distribution list submitted to the registry when a new publication appears should be reviewed on a scheduled (monthly, semi-annual, etc.) basis for additions or changes.

For each distribution list the following data would be collected:

- Number of Copies
- Name/Title of Addressee
- Mailing Address of Addressee
- Date Sent

4.1.2 ROUTING

Routing is similar to distribution but usually refers to a list of individuals within the organization who will review in turn the same copy of a document. Routing usually implies the item will be returned to the registry for disposition.

In many cases routing consists of attaching to the item a preprinted list of individuals who are to see it, initial the routing sheet, and pass the item to the next individual on the list. In some registries it may be necessary to

monitor the progress of the item each time it passes from one individual to another. This can be accomplished by requiring that the item be returned to the registry after each individual has finished with it or by attaching signature receipts for each individual to sign and return when he or she first receives the item. Monitoring routing this closely is not recommended unless absolutely required (for example Top Secret documents) as it is a complex and time consuming process.

For each routing list the following data would be collected:

Document Number
Copy Number
Date Routed
Names/Title of Individuals to Whom Routed
Date Forwarded

4.1.3 FILING

Files are collections of related documents. Files are used to store documents in an organized manner to facilitate reference. The file folder has a particular importance in that all records retired to the Archives and Records Center are accounted for at the file folder level.

Each organization will have its own filing system. Not all documents are filed and copies of some documents may be stored in several files, e.g., one copy in the subject file and another copy in the chrono file. A description of the filing system should be in the records control schedule for the organization.

For each document that is filed the following data would be collected:

File Folder Identifier

4.1.4 SUSPENSE

Suspense refers to requirements for action usually related to a document requesting such action. Suspense related data is usually recorded during the logging process or after notification from the action officer. The registry should have the ability to generate "tickler" lists of outstanding actions on a scheduled basis. The action officer must be responsible for notifying the registry when an action has been completed.

AUTOMATED REGISTRIES

For each suspense item the following data would be collected:

Organization Responsible for Action
Name/Title of Action Officer
Date Action Required
Type of Action Required
Date Action Completed

4.1.5 COPYING

Copying refers to the physical process of reproducing a document for filing, routing, or distribution. Information on controlled document copies is collected in the following two sub-functions, receipting and logging.

4.1.6 RECEIPTING

Documents sent out from a registry may require Office of Logistics Courier Receipts (Form 240 or 240a), Document Receipts (Form 615 or 2600) and/or mailing labels. Computer-ready mailing labels and courier receipts already exist, but not signature receipts.

A registry can have receipts and labels preprinted and stored, or have them printed as needed. The major use of this capability will be in conjunction with the distribution function. The computer can generate receipts from data stored in the computer for each distribution list, thus eliminating the need for rekeying the data each time a particular distribution list is used.

As part of the receipting function the registry should have the ability to generate lists of delinquent return receipts for follow-up action. This can be done by a signature receipt status indicator to indicate the status of a receipt (not sent, sent or returned).

For each item to be receipted the following data would be collected:

Document Number
Copy Number
Name/Title of Addressee
Mailing Address
Courier Receipt Number
Signature Receipt Status

4.1.7 LOGGING

Logging refers to the recording of data describing a document and what has happened to each copy. Documents which are logged are those which, for reasons of security or importance, need to be monitored. The information is collected by direct observation of the document during the suspense, distribution, routing and filing sub-functions.

For each item logged the following data would be collected:

- Document Number
- Secondary Document Numbers
- Cross Reference to Other Documents
- Date Document Was Published/Issued
- Date Document Was Received
- Name/Title of Originator of Document
- Organization of Originator
- Name/Title of Addressee on Document
- Organization of Addressee
- Subject/Title
- Classification Markings
- Document Type
- Comments/Abstract
- Medium
- Copy Number
- Copy Location

AUTOMATED REGISTRIES

4.2 REFERENCE FUNCTION

Reference is defined as the retrospective search and retrieval of information from registry files. This function pertains to collections of documents, file folders and/or data that are retained for the purposes of reporting or reference. This function is present when a registry is responsible for maintaining organizational files. It is also present when inventories or other accounting methods are maintained and used by the registries. In brief it is the retrospective use of data collected in the mail handling function.

4.2.1 SEARCH AND RETRIEVAL

The extent of a registry's search and retrieval function is determined by the data collected. Requirements for a simple reference capability, such as an inventory of items received and processed, may be satisfied by data collected during normal mail handling activities. Generally these simple reference needs may be predetermined and satisfied by a structured file/log organization. Examples of data elements used to support a simple reference function are:

- Document Number
- Subject/Title
- Name/Title of Originator
- Name/Title of Addressee

When a registry needs a more extensive search and retrieval capability, data collection must be augmented. The addition of supplemental data elements beyond those already discussed extends access to an item thus providing a more flexible retrieval tool. A reference function so augmented is better able to satisfy the unpredictable retrieval requests. Examples of data elements used to extend the reference function are:

- Keywords
- Subject Codes
- Geographic Area Codes
- Document Type

4.2.2 CHARGE OUT

In performing the reference function registries often find it necessary to provide source items/record copies from their files. To maintain file integrity and thus the integrity of the reference function, certain data describing the charge out transaction should be collected. The following data elements are suggested as a basic charge out record:

Document Number
Date Loaned
Name/Title of Borrower
Mailing Address of Borrower
Date Due

4.2.3 INVENTORY REPORTS

The data collected in the mail handling function can also be used to prepare document inventories. Inventory reporting is the scheduled creation of listings, by custodian, of document holdings. Annual inventories are required for APEX and Top Secret documents. Usually the registry creates a list of documents for each individual custodian. Each custodian must then certify that the list is correct. In some registries a visual verification of these documents by registry personnel is also required. Examples of data elements used to create an inventory listing are:

Custodian
Document Number
Copy Number
Subject/Title
Name/Title of Originator
Classification Markings

AUTOMATED REGISTRIES

4.3 RECORDS DISPOSITION FUNCTION

The records disposition function is concerned with what is done with records that no longer are needed for current business. The disposition of a particular collection of files is described in the disposition instructions for the relevant item number within the organization's records control schedule. Three types of disposition are possible:

RETIREMENT of file folders to the Agency's Archives and Records Center.

TRANSFER of documents or file folders to another organization.

DESTRUCTION of documents or file folders.

4.3.1 RETIREMENT

Most Agency records are disposed of through the records retirement program. To support this program, the Information Services Staff developed three data processing applications which contain data on the retired records of each component. The RAMS (Records Center and Archives Management System) application is used to manage retired records at the job level. The ARCINS (Archives and Records Center Inventory System) application maintains a file folder description of retired records. The DARE (Declassification and Review) application contains data on classification review decisions made on documents.

Components retiring records to the Archives and Records Center are required to provide data for ARCINS and RAMS. Because of this, users of automated registry systems should develop an interface that will allow them to pass data from their registry system to ARCINS and RAMS when the records are retired. Such an interface will provide the registry with complete life-cycle tracking of most of their records, and will minimize the amount of rekeying of data that will be required to support the several systems.

The following lists contain the names of some of the data elements in ARCINS and RAMS. It is this data that the organization retiring records will be asked to provide. For complete details on these data elements and on the workings of these systems refer to the ARCINS and RAMS Users Guides maintained by the Records Management Division of ISS (the back of Form 4034A also gives a comprehensive description of the ARCINS data). Required data elements are prefaced with an asterisk.

ARCINS

- * Job Number
- * Box Number
- * File Folder Sequence Number
- * File Folder Title
- * Classification
- Classified By
- * Records Control Schedule Number
- * Item Number
- * Office of Primary Interest Number

Disposition Date

Organization (Three separate data elements to indicate the Division, Branch, and Section that had the records.)

Restriction Code (for access to a file folder)

File Folder Identifier

Medium (of the contents of a file folder)

- * File Folder Beginning Date
- * File Folder Ending Date

RAMS

- * Job Number

- * Office of Primary Interest Number

Disposition Date

Restrictions (for access to a job)

Description (The title of appropriate records series in a Records Control Schedule.)

AUTOMATED REGISTRIES

Retirement is not the final disposition. All retired records will eventually be either transferred or destroyed. Roughly 90% of the Agency's retired records have a temporary retention value and will be destroyed after a limited period of time. The other 10% are scheduled for permanent preservation by the Federal Government and some day should be transferred to the National Archives. Regardless of whether retired records are destroyed or transferred to the National Archives, their ultimate disposition will be shown in both the ARCINS and RAMS systems.

4.3.2 TRANSFER OR DESTRUCTION

In cases where a records control schedule permits documents or file folders to be disposed of without first being retired, the registry may need to collect data in its own system to show what disposition was made. The following data elements relate to this aspect of the disposition function.

Document Number or File Folder Identifier
Item Number
Disposition Type
Organization Transferred To
Date of Disposition
Classification Markings
Name/Title of Witness to Destruction

5. IMPACT OF AUTOMATION

Introducing automation in a registry will have some impact on the work performed, the staffing, and the equipment in the registry. The degree of impact will be different in each registry depending upon the system implemented. Each registry, however, should be prepared for change.

5.1 WORK PERFORMED

One effect of automation will be a change in the way work is performed in the registry. In most cases more data will be collected, thus more time may be required to "process" a document. Some Log books and forms will be replaced with "menus" on computer terminals. These menus will usually include data items that have not been collected before. Less time will be required to do file searches and answer queries about record holdings as the computer will be able to perform complex searches in a few minutes or seconds. This probably will result in an increase in the demand for registry services as more individuals in the organization become aware of the system's capabilities.

As the demand for reference service increases, the registry will become more vulnerable to problems associated with equipment downtime. Each registry must have procedures for functioning when the computer is unavailable. New document data can be collected on paper forms for input when the system recovers and microform backups of reports can be used to handle vital queries. Depending on the problem and the type of system used, most computers will recover in a matter of minutes or hours, but on rare occasions they may be down for days.

5.2 STAFFING

Usually, at least as many people are required to run an automated registry as a manual one. The major effect of automation is on the duties of the staff, not the size.

There should be one individual, the Data Base Administrator (DBA), who is responsible for the system. This person will be involved in the system design and, once the system is implemented, be the resident "expert" on its usage. The DBA will conduct training for other registry employees, perform complex queries, suggest changes, and work with the system designer on implementing the changes.

The majority of people in the registry will have new responsibilities such as inputting data on the terminal and processing queries. In most cases, these tasks will be quite different from what they were doing before, and will require new skills. Because working habits do not change easily, each person must be given the training he or she needs and time to adjust. It will be easier for all if they are kept informed of what is happening from the beginning and understand exactly how the changes in the registry will impact on them personally.

5.3 EQUIPMENT

A decision to automate will require the introduction of new equipment into the registry. Most systems will be implemented on ODP computers and will use the new agency standard terminal. These terminals are large and generate a certain amount of heat. Careful space planning will be required to assure the placement of terminals in an area where they will be convenient to use and will not disturb the work flow.

These terminals are versatile pieces of equipment which also can be used for other computer applications and as word processors. If they are not constantly in use by registry personnel they can be made available to others in the organization. However, if they are to be "shared" some priority system must be devised to prevent conflicts when more than one person wishes to use the terminal.

APPENDIX A

COMPONENT AUTOMATED REGISTRY SYSTEMS

DCI Area

Office of General Counsel (OGC) : OGC is in the process of replacing its VM system with a GIM-II system, the Document Management System (DMS). This system will be used to monitor documents and file folders and the status of litigation involving the Agency.

Office of Legislative Counsel (OLC) : The Legislative Counsel Automated Management System (LAMS) is a GIM-II system used for tracking mail and indexing a variety of intra-office documents.

DDA

Office of Communications (OC) : The RECSKD (Records Control Schedule) is an offline system used to track the location of OC file folders. It does not include document level data.

DDS&T

Office of the Deputy Director for Science & Technology (ODDS&T): The Document Information Retrieval System (DIRS) is an on-line system which helps the DDS&T Registry monitor and control the flow of documents to, from and within the ODDS&T.

National Photographic Interpretation Center (NPIC): The Operations and Administration Support Information System (OASIS) is used as an aid in the distribution and control of documents, briefing aids, and graphics.

AUTOMATED REGISTRIES

APPENDIX B

CENTRALIZED AUTOMATED RECORDS MANAGEMENT SYSTEMS

DDA SYSTEMS

Information Services Staff (ISS): The Records Information System (TRIS). TRIS is a name given to a set of data processing systems being developed in ISS. Five systems now make up TRIS. The systems which relate to registries are:

1. The Archives and Records Center Inventory System (ARCINS). ARCINS is a file folder level inventory of all inactive records retired to the Agency Archives and Records Center (ARC). In most instances input is via Form 4034A, File Review Worksheet, which components send to ISS for keying.
2. The Records Center and Archives Management System (RAMS). RAMS is a companion system to ARCINS. It provides an accession (job) level inventory of all inactive records in the custody of ARC. In addition to assisting ARC with its accessioning, reference, and disposition function, RAMS provides an on-line data link between headquarters and ARC. This data link permits components to request retired files via a Delta Data computer terminal.
3. The Declassification and Review System (DARE). DARE is used by the Classification Review Division (CRD) of ISS. In a sense, this system is a follow-on to ARCINS. It builds on the folder level data in ARCINS. Each time CRD reviews a box of 20-year-old retired records in order to revalidate the classification of the contents, it creates a DARE index record for every document in every file folder.

Office of Security (OS) : The Top Secret Control Automated Data System (TSCADS) contains an inventory of collateral Top Secret documents. Most registry managers work with the Information Systems Security Group of OS to keep this inventory up to date through periodic reporting of document transactions.

DDO SYSTEMS

Information Management Staff (IMS): The DO Records Information Control (DORIC) system contains data on DDO documents and file folders.

CIA SYSTEMS

The Support for the Analysts' File Environment (SAFE) system, currently under development, will provide individual intelligence analysts the ability to search through and retrieve information from selected Agency files. Each analyst will be able to develop his own indexes to documents, and will be able to retrieve documents by searching these personal indexes as well as indexes created by OCR's professional indexers.

AUTOMATED REGISTRIES

APPENDIX C

GLOSSARY

CONTROLLED DOCUMENT

Any document that for reasons of security or importance is monitored by the registry.

DATA ELEMENT

A basic unit of identifiable and definable information. In information processing systems, a data element occupies the space provided by fields in a computer record or blocks on a form. It has an identifying name and a value or values for expressing a specific fact. (From FIPS PUB 45.)

DISSEMINATION

The process of determining who will receive copies of a document.

DISTRIBUTION

The process of actually giving out the copies of a document.

DOCUMENT

Any recorded information regardless of its physical form or characteristics, including, without limitation, written or printed matter, data processing cards and tapes, maps, charts, paintings, drawings, photos, engravings, sketches, working notes and papers, reproductions of such things by any means or process, and sound, voice, magnetic or electronic recordings in any form. (From The APEX Special Access Control System Manual.)

RECORD

". . . all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the United States Government in pursuance of Federal law or in connection with the transaction of public business . . ." 41 CFR 101-11.101-3

REFERENCE

Retrospective search and retrieval of information from registry maintained files.

REGISTRY

A place where incoming and outgoing mail is processed; where document accountability records are maintained; where official files are maintained; and/or where inactive files are prepared for retirement to the Agency's Archives and Records Center.

AUTOMATED REGISTRIES

APPENDIX D

DATA ELEMENT DEFINITIONS

BOX NUMBER

This is a four digit number used to identify each box of file folders within a job. It is a required data element in the ARCINS system.

CLASSIFICATION MARKINGS

The classification markings can be thought of as three parts: the classification of the document, codewords, and dissemination controls. The classification will be either UNCLASSIFIED (U), CONFIDENTIAL (C), SECRET (S), or TOP SECRET (T). The codewords are too varied to list here. The dissemination controls will include such things as NOFORN and ORCON.

CLASSIFIED BY

A six digit data element used to record the employee number of the person responsible for assigning a security classification to a document.

COMMENTS/ABSTRACT

This is a free text data element used to summarize the contents of a document, or to explain something about a document.

COPY LOCATION

The copy location tells where it is. If a copy has been distributed, the location will be the name/title of the individual to whom it has been sent. If it has been routed, the location will be the list of individuals to whom it has been routed. If it has been filed, the location will be the file folder identifier. If it has been retired, destroyed, or transferred the location will be available through the ARCINS system or will be recorded in the disposition type.

COPY NUMBER

This can refer to a single copy number; e.g., copy 10, or to a range of copy numbers; e.g., copy 10 to copy 20.

COURIER RECEIPT NUMBER

This data element would contain the number taken from the Office of Logistics Courier Receipt (Form 240 or 240a).

CROSS REFERENCE

This data element would contain the document numbers of documents which are referenced by the document.

CUSTODIAN

The custodian is the individual who is accountable for the document. This data element is used when generating document inventory lists.

DATE

All dates should be in the same format. The National Bureau of Standards format of YYMMDD (two digit year, two digit month, two digit day) should be used..

DESCRIPTION

This is a free text, optional data element of up to 120 characters which is used to describe a RAMS job.

DISPOSITION DATE

This data element is used to describe the disposition of the material in a job. It would either contain the letters PERM (for permanent retention) or four digits (MMYY) for the month and year disposition action is required. This is an optional data element in both the ARCINS and RAMS systems.

AUTOMATED REGISTRIES

DISPOSITION TYPE

This could be any code to show what disposition was made to a document or file folder; e.g. D for destroyed, R for retired, or T for transferred.

DOCUMENT NUMBER

The document number should be a unique number used to identify a document. This number may be the Security Control Number, originator's number, registry assigned number, or any other unique identifier for a document. If a document has more than one number, the registry manager must specify a procedure for determining the one to be used for control, and record the remaining number(s) in the SECONDARY DOCUMENT NUMBER data element. This should be a three part data element consisting of a prefix (maximum of 10 characters), a sequence number (maximum of 13 characters) and a year (two digits). The prefix will be the security compartment indicator or the Agency/component code. The year may be stored before or after the sequence number depending on registry requirements. Examples:

PREFIX	SEQ NUMB	YEAR	
DDX	0001	79	Typical office 'DDX' number
	31500011	79	DDO number
2/00	4884	79	NSA Hq message number
SC	nnnnnn	yy	
 	nnnnnn	yy	
	nnnnnn	yy	
BIF nnn	nnnnnn	yy	
TS	nnnnnnn	yy	Top Secret Cable
TS	nnnn/a	yy	Top Secret Collateral
A	nnnnnnnn	yy	APEX number

STAT

STAT

DOCUMENT TYPE

A descriptive term or code used to depict the form or format of a document. Used to facilitate retrieval, it is intended to provide information about the document's physical attributes, origin and/or intent. Examples of document type code schemes may be found in several Agency registry systems. The Records Management Division of ISS may be consulted for more information on some of these schemes.

FILE FOLDER BEGINNING DATE

Date of the earliest document in a retired file folder.
This six digit date is required for ARCINS.

FILE FOLDER ENDING DATE

Date of the most recent document in a file folder.
This six digit date is required for ARCINS.

FILE FOLDER IDENTIFIER

This may be any unique identifier for a file folder.
In ARCINS this is an optional 15 character data element
call FILE NUMBER.

FILE FOLDER SEQUENCE NUMBER

This is a three digit number that represents the
sequential position of a file folder within a box of
retired records. It is required for ARCINS.

FILE FOLDER TITLE

This is the full title for the file folder. In ARCINS
this is a required data element consisting of up to 228
alphanumeric characters.

GEOGRAPHIC AREA CODE

A code used to represent a country and/or geographic
region. Country codes are used to provide a concise
and uniform way of recording geographic units. There
are several area coding schemes available and in use in
registries and in other parts of the Agency. The
Records Management Division of ISS may be consulted for
more information on some of these coding schemes.

AUTOMATED REGISTRIES

ITEM NUMBER

This data element identifies a series of records within a Records Control Schedule. The item number consists of eight alphanumeric characters. This data element is required in ARCINS.

JOB NUMBER

The job number is assigned by the Archives and Records Center to identify a particular accession of retired records. The job number consists of nine alphanumeric characters. This data element is required for both the ARCINS and RAMS systems.

KEYWORD

A word or phrase used as a document descriptor to facilitate retrieval. Keywords may be words found in the text of the document. They may be controlled or uncontrolled. In a controlled keyword approach, descriptors are selected from a predetermined list and only those descriptors may be used. In the uncontrolled approach, any word or phrase selected by registry personnel is acceptable. Both controlled and uncontrolled keyword systems are used in Agency registries.

MAILING ADDRESS

The mailing address will vary considerably depending on the location. An internal CIA address usually will be two lines: room number and building name. External address may be up to four lines: organization name, internal mail stop, street address and city, state and ZIP.

MEDIUM

There is no standard set of codes to show the medium of a document or file folder but the following codes developed for ARCINS should be used;

A	Audio
C	Computer Magnetic Media
D	Punched Paper Tape
E	Engineering Drawings
F	Film (single sheets)
G	Film strip
H	Photograph
M	Microform
N	Chart/Poster
O	Motion Picture
P	Microscope Slide
Q	Model
S	Slide
T	Transparency
U	Punched Card
V	Video Tape
W	Video Disk
X	Map
Y	Gift

NAME/TITLE

Depending on usage this data element could be any type of personal identifier. In the distribution function this data element will usually contain an individual's title (DCI) or name (Stansfield Turner). In the routing function it may contain the first name or initials. The important factor is that the registry manager be able to identify the individual. If this data element will be used for creating alphabetical listings the name should be stored as last name, comma, first name, middle name/initials, title, etcetera.

NUMBER OF COPIES

Total number of copies of a document sent or received.

OFFICE OF PRIMARY INTEREST (OPI) NUMBER

This is a two digit number assigned by ISS to identify the organization responsible for each retired records job. This data element is required for both the ARCINS and RAMS systems.

AUTOMATED REGISTRIES

ORGANIZATION

This data element will be used to record the name of a component within the Agency or within the Federal Government, or the name of a business or non-profit institution. There are coding schemes available through the Office of Data Processing which provide a uniform way of recording the names of Agency organizations and Federal Government organizations.

RECORDS CONTROL SCHEDULE NUMBER

The Records Control Schedule number is a four digit data element used in ARCINS.

RESTRICTION CODE/RESTRICTIONS

An optional data element in both ARCINS and RAMS. In ARCINS this is a two character alphanumeric data element which a component may use to indicate particular access restrictions to a file folder. In RAMS up to 30 characters of free text are allowed to show any access or handling restrictions placed on the job.

SECONDARY DOCUMENT NUMBER

See Document number.

SIGNATURE RECEIPT STATUS

This data element would contain an indicator of the status of the signature receipt. Suggested values would be:

Blank - No Receipt Sent
S - Receipt Sent
R - Receipt Returned

SUBJECT CODE

A retrieval code used to describe the subject of a document. Subject codes are used to categorize a document, to place it into one or more subjects included in a predetermined schedule of subjects; e.g., economic aid, energy policy, personnel matters. The codes may be hierarchically arranged; i.e., major subject headings with related sub-items below. Codes may also be free form; that is, each code is independent and does not relate to any other code. Subject codes may be effectively used in conjunction with keywords. The subject codes identify the general class or type of information, and the keywords identify the specific, named information. Several subject coding schemes are in use in Agency registries. The Records Management Division of ISS may be consulted for more information on some of these schedules.

SUBJECT/TITLE

This would be a free text data element copied from the subject line of a memorandum or the title of a publication.

TYPE OF ACTION

This data element is used as part of the suspense sub-function in mail handling. Some type of a code scheme would be set up to show what type of action is required.